

FAX COVER SHEET

TO	Commssioner for Patents
COMPANY	USPTO
FAX NUMBER	17033086459
FROM	Andy Arismendi
DATE	2003-10-01 15:11:07 GMT
RE	A/N: 09/269,518

COVER MESSAGE

Retransmittal of fax sent August 18, 2003

Petition under 37 CFR 1.181 (no fee)

Attn: Paralegal Specialist: ~~Nguyen Ngoc Ho~~

Ph: 703-308-6508

57 pages (including fax coversheet)

RECEIVED
01 OCT 2003
Legal Staff
International Division

CERTIFICATE OF FACSIMILE TRANSMISSION	
<p>I hereby certify that this correspondence is being deposited in the United States Patent and Trademark Office on this date, August 18, 2003, by facsimile transmission to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, to the attention of Examiner Ho Nguyen at facsimile number (703) 308-6450.</p>	
Signature	<i>[Signature]</i>
Printed Name	A.M. (Andy) Arismendi, Jr.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

David Peter Fenner et al.

APPLICATION NO.: 09/269,518

FILED: 02 April 1999

TITLE: Fan Rotor

Box PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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GROUP ART UNIT: unknown

EXAMINER: unknown

ATTY. DKT. NO.: 34703.00006

PETITION UNDER 37 CFR§ 1.181

Dear Sir:

In response to the Request for Status faxed 01 August 2003, referencing the above-identified matter, we received a response from Paralegal Specialist Nguyen Ngoc-Ho mailed 12 August 2003 (Exhibit 1). In said response, Mr. Ho has requested we file a Petition under 37 CFR 1.181 for acceptance of copies of all papers submitted on 30 March 2001 and on 15 June 2001, including evidence of receipt in the Office of these papers. Per telephone conference between Mr. Arismendi and Mr. Ho on 15 August 2003, Mr. Ho indicated that no fees would be due for filing such a petition.

Per such request, we hereby file this Petition for acceptance of true and accurate copies of all papers submitted on 30 March 2001 (Exhibit 2) and on 15 June 2001 (Exhibit 3), including evidence of receipt in the Office of these papers. Such copies are submitted herewith.

Respectfully submitted by,

Date: 18 August 2003

[Signature]
A.M. (Andy) Arismendi, Jr.
Reg. No. 31,715

A.M. (Andy) Arismendi, Jr., PC
P.O. Box 35512
Houston, TX 77235-5512
Telephone: 713-256-3773
Facsimile: 281-754-4386

EXHIBIT 1

Response to Status Inquiry mailed 12 August 2003.



12 AUG 2003
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
P.O. Box 1450
ALEXANDRIA, VA 22313-1450
www.uspto.gov

A.M. Andy Arismendi, Jr.
Post Office Box 35512
Houston, Texas 77235-5512

Dear Mr. Arismendi:

This is in response to your letter received 01 August 2003 inquiring about the status of the Response to the Notification of Missing Requirements in U.S. patent application 09/269,518 filed by facsimile on 30 March 2001 and by "Express Mail" on 15 June 2001. A review of the application file indicates that both submissions mentioned above are not matched with the file at this time. Should prosecution of the application be desired, applicant should file a Petition under 37 CFR 1.181 for acceptance of copies of all the papers submitted on 30 March 2001 and on 15 June 2001, including evidence of receipt in the Office of these papers. The papers should be accompanied by a statement from the attorney that the copies submitted with the petition are true copies of what was filed and of the postcard as returned by the USPTO. The Petition may be filed by facsimile to the PCT Legal Office at (703) 308-6459.

Sincerely,

Nguyễn Ngọc Hồ

Nguyễn Ngọc-Hồ
Paralegal Specialist
PCT Legal Office

Tel: (703) 308-6508

EXHIBIT 2

Papers submitted 30 March 2001 with Transmission Verification Report:

1. Transmission Verification Report
2. Fax Coversheet
3. Communication of 30 March 2001 to Lamont Hunter (National Stage Processing) with following attachments:
 - I. Notification of Missing Requirements mailed 01 June 1999
 - II. Response to Notice to File Missing Parts of Application (Express Mail EL 357 877 986 US).
 - A. Declaration & Power of Attorney
 - B. Statement Claiming Small Entity Status
 - C. Check for \$65.00
 - D. Return Postcard
 - III. Petition to Withdraw Holding of Abandonment with following attachments:
 - A. Notification of Missing Requirements mailed 01 June 1999
 - B. Notification of Defective Oath or Declaration mailed 01 June 1999
 - C. Response to Notice to File Missing Parts of Application (Express Mail EL 357 877 986 US).
 - D. Copy of Return Postcard
 - E. Copy of letter transferring case from Jenkins & Gilchrist to Mr. Arismendi
 - F. Notice of Abandonment
 - G. Copy of docket report printed 22 July 1999.
 - IV. Copy of return postcard for petition to withdraw holding of abandonment
 - V. Decision on Petition to Withdraw Holding of Abandonment
 - VI. Notification of Missing Requirements mailed 15 March 2001
 - VII. Revocation of Powers of Attorney and New Power of Attorney

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this correspondence is being deposited in the United States Patent and Trademark Office on this date, March 30, 2001, by facsimile transmission to the attention of Lamont Hunter of the National Stage Processing department at facsimile number (703) 305-3230.

Signature: Susan B. Jensen
 Printed Name: Susan B. Jensen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

David FENNER, et al.

APPLICATION NO.: 09/269,518

FILED: April 9, 1998

TITLE: Fan Rotor

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GROUP ART UNIT: unknown

EXAMINER: unknown

ATTY. DKT. NO.: 34703.00006

Box PCT
 Commissioner for Patents
 Washington, D.C. 20231

ATTN: National Stage Processing: Lamont Hunter

Dear Sir:

Per your telephone conversation with Susan Jensen of our office referencing the above-identified matter, enclosed are true and accurate copies of the Response to the Notification of Missing Requirements dated June 1, 1999, Petition to Withdraw Holding of Abandonment, Decision (Granted) on Petition to Withdraw Holding of Abandonment, the most recent Notification of Missing Requirements, and our Power of Attorney.

Should you have any questions or require additional information, please feel free to contact me at (713) 652-2555.

Respectfully submitted by,

Date: March 30, 2001

Andy Arismendi, Jr.
 A.M. (Andy) Arismendi, Jr.
 Reg. No. 31,715

A.M. (Andy) Arismendi, Jr.
 Lundeen & Arismendi, LLP
 P.O. Box 131144
 Houston, TX 77219-1144
 Telephone: 713-652-2555
 Facsimile: 713-652-2556

Serial Number: 09/269,518
 Inventor: Fenner, et al.
 Atty. Docket No. 34703.00006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of
 Fenner, et al.

Application No. 09/296,518

Filed: April 2, 1999

Title: FAN ROTOR

Attorney Docket No. 34703.00006

Group Art Unit:

Examiner: (unassigned)

EL357877986US

Assistant Commissioner for Patents
 BOX PCT
 Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
 FILING DATE GRANTED**

**CERTIFICATE OF MAILING BY EXPRESS MAIL
 UNDER 37 CFR 1.10**

I hereby certify that this paper or fee is being deposited with the
 U.S. Postal Service "Express Mail Post Office to Addressee"
 service, "EXPRESS MAIL" Mailing Label No. EL357877986US
 on the date indicated below and is addressed to Box Missing Parts,
 Assistant Commissioner for Patents, Washington, D.C. 20231

Date:

July 1, 1999

ALAN R. THIELE, Registration No. 30,694

Attorney or Agent

Alan R. Thiele

Signature

Serial Number: 09/269,518
Inventor: Fenner, et al.
Atty. Docket No. 34703.00006

Sir:

This reply is to a Notification of Missing Requirements under 35 U.S.C. 371-(PCT/DO/EO/905) mailed June 1, 1999. A copy of the Notice is enclosed.

Below is a Statement by the undersigned registered agent that the application filed in the PCT is the application which the inventor executed by signing the attached Declaration.

I. DECLARATION OR OATH

A Declaration was filed with the original application but was not executed. Enclosed is a Declaration (with original signatures) for this application.

II. SMALL ENTITY STATUS

A Verified Statement that this filing is by a small entity was filed with the original application but not executed. Enclosed is a signed Verified Statement by the assignee for this application. A copy of the Assignment is also enclosed.

III. COMPLETION FEES

Surcharge fees: Late filing of original Declaration or Oath per 37 C.F.R. §1.16(e) - \$130.00; small entity - \$65.00. Total completion fees is \$65.00.

IV. EXTENSION OF TIME

An extension of time for the filing of this completion document is not required.

V. TOTAL FEES DUE

Completion fee	\$65.00
Extension Fee (if any)	<u>\$ 0.00</u>
Total fees due	<u>\$65.00</u>

Serial Number: 09/269,518
Inventor: Fenner, et al.
Atty. Docket No. 34703.00006

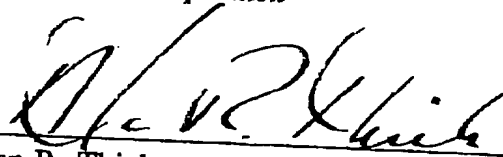
VI. PAYMENT OF FEES

Enclosed is a check in the amount of \$65.00 to cover Completion and Extension Fees.

VII. AUTHORIZATION TO CHARGE ADDITIONAL FEES

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper during the pendency of this application to Account No. 10-0447.

Respectfully submitted,
JENKENS & GILCHRIST
A Professional Corporation



Alan R. Thiele
Reg. No. 30,694
Patent Attorney
Tele: (Voice) (210) 246-5657
(Facsimile) (210) 246-5999

July 1, 1999
Date

STATEMENT BY AGENT THAT APPLICATION FILED IN PATENT & TRADEMARK OFFICE IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION

I hereby state that I am an agent for this application and that the application identified above is the application which the inventor executed by signing the Declaration that is being submitted herewith.

Respectfully submitted,
JENKENS & GILCHRIST
A Professional Corporation



Alan R. Thiele, Reg. No. 30,694



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

U.S. APPLICATION NO. 09/269,518	FIRST NAMED APPLICANT FENNER	ATTY. DOCKET NO. D 34703-00006
INTERNATIONAL APPLICATION NO. PCT/GB97/02940		
I.A. FILING DATE 10/27/97		
PRIORITY DATE 10/03/96		

DATE MAILED: 06/01/99

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☐ a Designated Office (37 CFR 1.494),
☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

- ☐ a non-English language.
☒ English.

☐ Translation of the international application into English.

☐ Oath or Declaration of inventor(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☒ The International Preliminary Examination Report in English and its Annexes, if any.

☒ Translation of Annexes to the International Preliminary Examination Report into English.

☒ Preliminary amendment(s) filed 02 Apr 1999 and

☐ Information Disclosure Statement(s) filed and

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed

☒ Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☒ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

- ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

- ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☒ PCT/DO/EO/917
☐ PTO-875

☐ Notice of Defective Translation

FORM PCT/DO/EO/905 (December 1997)

Telephone: (703) 305-3686

INTELLECTUAL PROPERTY

JUN 07 1999

JENKENS & GILCHRIST

* DOCKETED

Int. 22 DT: 6-2-99

Action complete Date: 6-1

Missing Parts due 7-1-99

LUNDEEN & ARISMENDI, LLP
P.O. Box 131144
Houston, Texas 77219-1144
Phone: (713) 652-2555 Facsimile (713) 652-2556

F A C S I M I L E

DATE: March 30, 2001 **CLIENT/MATTER#** _____

DISPOSITION: Normal X **TIME:** 3:15 pm
 RUSH _____

NUMBER OF PAGES: (Including Cover Sheet): 45

FROM: A.M. (Andy) Arismendi, Jr.

TO: Lamont Hunter

THIS FACSIMILE TRANSMISSION MAY CONTAIN INFORMATION WHICH IS PRIVILEGED, OR OTHERWISE CONFIDENTIAL. IF YOU ARE NOT THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISCLOSURE, USE, OR DISSEMINATION OF THIS INFORMATION IS IMPROPER AND PROHIBITED. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, KINDLY CALL THE SENDER COLLECT TO ARRANGE FOR ITS RETURN.

FACSIMILE NUMBER CALLED: 703 305 3230

DOCUMENTS SENT: _____

ADDITIONAL MESSAGE OR COMMENTS: _____

FACSIMILE SENT BY: Susan B. Jensen

If you do not receive all pages or if pages are not legible, please contact the above at (713) 652-2555.

Jenkins & Gilchrist

No. 121338

DATE	INVOICE	DESCRIPTION	AMOUNT
07-01-99	34703 6/THIELE	PCT FILING FEE FOR OATH OR DECLARATION	65.00
TOTAL			65.00

THIS CHECK CONTAINS A VOID FEATURE. MICRO-PRINTED SIGNATURE LINE AND AN ARTIFICIAL WATERMARK ON BACK. HOLD UNDER BLACKLIGHT TO VERIFY AUTHENTICITY

JENKENS & GILCHRIST
A PROFESSIONAL CORPORATION
1445 RIOS AVE., SUITE 3200
DALLAS, TEXAS 75202-2711

Chase Bank of Texas, N.A.
San Angelo

PAY TO THE ORDER OF SIXTY-FIVE AND 00/100 Dollars

ASSISTANT COMMISSIONER FOR PATENTS

CHECK DATE 06/30/99

CHECK AMOUNT \$65.00

121338

88-88 1113

Andy Arismendi

TWO SIGNATURES REQUIRED OVER \$10,000
VOID AFTER 180 DAYS

121338 111300880 06300044321

STAMP OF THE PATENT OFFICE, PLACED HERE **N.** **OWLEDGES RECEIPT OF:**

Applicant: Daniel Fenner, et al.

Attorney/Agent: Alan J. Thiele

Serial No.: 09/269519 Assy. Docket No.: 34703-00006

Date Mailed: 7/1/99 Due: 7/1/99

☐ Affidavit or ☐ Declaration

☐ Application for Patent Including

☐ pages spec., ☐ pages claim

☒ Declaration or ☒ Oath w/Power of Attorney

☐ Application for Intent-To-Use TM/SM

☐ Application for TM/SM Reg. w/specimens

☒ Certificate of Express Mail 37 CFR 1.10

Express Mail No. EL357877986US

☐ Information Disclosure Statement

☐ PTO Form 1449, ☐ references

☐ Power of Attorney

☐ Reg. for Filing ☐ Continuation ☐ Divisional

Application Under 37 CR 1.60

☒ Verified Statement to Establish Small Entity Status

☐ Postcard

☒ Check for \$ 65.00

☐ Amendment/Response To Office Action

☐ Brief, ☐ copies

☐ Assignment, check for \$

☐ Assignment Recordation Cover Sheet

☐ Power of Attorney by Assignee

☐ Certificate of Mailing Under 37 CFR 1.8(a)

☐ Declaration of Attorney

☐ Drawings: ☐ sheets

☐ ☐ Formal or ☐ Informal

☐ Issue Fee Transmittal

☐ Notice of Appeal

☐ Petition for Extension of Time ☐ months

☐ ☐ with check for \$

☐ Priority Document

☒ Transmittal Letter

☐ Other:

EXPRESS MAIL

POST OFFICE TO ADDRESSEE

SEE REVERSE SIDE FOR SERVICE GUARANTEE AND LIMITS ON INSURANCE COVERAGE

Customer Copy Label 11-F July 1997

ZIP Code 78205

Day of Delivery ☒ Next ☐ Second

Postage \$ 11.75

Return Receipt Fee \$

Insurance Fee \$

Total Postage & Fees \$ 11.75

FROM: (PLEASE PRINT) **TO: (PLEASE PRINT)**

JENKINS & GILCHRIST **ASSISTANT COMMISSIONER FOR PATENTS**

1800 FROST BANK TOWER **WASHINGTON, D.C. 20231**

100 W HOUSTON ST

SAN ANTONIO, TX 78205-1457

PRESS HARD. **FOR PICKUP OR TRACKING CALL 1-800-222-1811** **www.usps.gov**

EMS

INTELLECTUAL PROPERTY

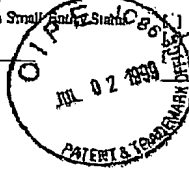
JUL 19 1999

JENKENS & GILCHRIST

THE STAMP OF THE PATENT OFFICE, PLACED HEREBY, ACKNOWLEDGES RECEIPT OF:

Applicant: David Eganer et al.
 Attorney/Agent: Alan J. Thiele
 Serial No.: 09/269,518 Atty. Decision No.: 34703-00006
 Date Mailed: 7/1/99 Due: 7/1/99

<input type="checkbox"/> Affidavit or <input type="checkbox"/> Declaration	<input type="checkbox"/> Amendment/Response To Office Action
<input type="checkbox"/> Application for Patent including	<input type="checkbox"/> Brief, <u> </u> copies
<u> </u> pages spec., <u> </u> pages claims	<input type="checkbox"/> Assignment, check for \$ <u> </u>
<input checked="" type="checkbox"/> Declaration or <input checked="" type="checkbox"/> Oath w/Power of Attorney	<input type="checkbox"/> Assignment Recordation Cover Sheet
<input type="checkbox"/> Application for Intent-To-Use TM/SM	<input type="checkbox"/> Power of Attorney by Assignee
<input type="checkbox"/> Application for TM/SM Reg. w/specimens	<input type="checkbox"/> Certificate of Mailing Under 37 CFR 1.8(a)
<input checked="" type="checkbox"/> Certificate of Express Mail 37 CFR 1.10	<input type="checkbox"/> Declaration of Attorney
Express Mail No. <u>156357877986US</u>	<input type="checkbox"/> Drawings: <u> </u> sheets
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> <input type="checkbox"/> Formal or <input type="checkbox"/> Informal
<input type="checkbox"/> PTO Form 1449, <u> </u> references	<input type="checkbox"/> Issue Fee Transmittal
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Reg. for Filing <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional	<input type="checkbox"/> Petition for Extension of Time (<u> </u>) months
Application Under 37 CR 1.60	<input type="checkbox"/> with check for \$ <u> </u>
<input checked="" type="checkbox"/> Verified Statement to Establish Small Entity Status	<input type="checkbox"/> Priority Document
<input checked="" type="checkbox"/> Postcard	<input type="checkbox"/> Transmittal Letter
<input checked="" type="checkbox"/> Check for \$ <u>65.00</u>	<input type="checkbox"/> Other: <u> </u>



* DOCKETED
 Int: K11 M: 7-21-99
 Action: Complete Date: 7-2
Small Entity
Missing Parts

Express Mail Label No. EL 596 200 659 US

Practitioner's Docket No. 34703.00006

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David FENNER, et al.

Application No. 09/269,518

Filed: April 2, 1999

For: Fan Rotor

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EL596200659US

Group No. (Unknown)

Examiner: (Unknown)

Box PCT
Assistant Commissioner for Patents
Washington, D.C. 20231

Attn: PCT Legal Department

Dear Sir:


PETITION TO WITHDRAW HOLDING OF ABANDONMENT

Applicants request withdrawal of the holding of abandonment of the above-identified application based on fact that a response to the notification of Missing Requirements (Form PCT/DO/BO/905) was filed on July 1, 1999.

CERTIFICATION OF EXPRESS MAILING

I hereby certify that this Petition to Withdraw Holding of Abandonment and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date July 3, 2000, in an envelope as "Express Mail Post Office to Addressee," mailing Label Number EL 596 200 659 US, addressed to the: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231, Attn: PCT Legal Department.

A. M. (Andy) Arismendi, Jr.
(type or print name of person mailing paper)


Signature of person mailing paper

Express Mail Label No. EL 596 200 659 US

The application was filed April 2, 1999 by Mr. Alan Thiele of Jenkins & Gilchrist.

On June 1, 1999, a Notification of Missing Requirements (Form PCT/DO/EO/905) was mailed from the USPTO (copy attached as "A").

On June 7, 1999, it was received by Jenkins & Gilchrist in its Dallas office together with a Notification of Defective Oath or Declaration (Form PCT/DO/EO/917) (copy attached as "B").

On July 1, 1999, Mr. Thiele filed a response (copy attached as "C") to the notification of Missing Requirements together with the executed declaration and the completion fee. This response was filed by Express Mail. A copy of the return postcard (received by Jenkins & Gilchrist on July 19, 1999) is also included herewith as "D".

On July 27, 1999, this case was transferred from Jenkins & Gilchrist to Mr. Arismendi for further prosecution on instructions of the client. (Copy of the transfer letter attached as "E".)

On March 27, 2000, the Notification of Abandonment (Copy attached as "F") was mailed to the Dallas office of Jenkins & Gilchrist.

On March 30, 2000, it was received by Jenkins & Gilchrist in Dallas.

On June 27, 2000, it was forwarded to Mr. Arismendi.

On June 30, 2000, it was received by Mr. Arismendi.

On July 3, 2000, Mr. Arismendi filed this Petition.

A copy of the docket report printed on July 22, 1999 (copy attached as "G") reflects the filing of the response to the notice to file missing parts (i.e., notification of Missing Requirements) on July 1, 1999.

Accordingly, in view of the foregoing and the fact that a response was timely filed, Applicants respectfully request that the holding of abandonment be withdrawn.

Express Mail Label No. EL 596 200 659 US

CHANGE OF CORRESPONDENCE ADDRESS

Please send all correspondence to:

A.M. (Andy) Arismendi, Jr.
Lundeen & Arsimendi, LLP
P.O. Box 131144
Houston, Texas 77219-1144

Ph: 713-652-2555
Fax: 713-652-2556

Respectfully submitted,



A.M. (Andy) Arismendi, Jr.
Reg. No. 31,715

Lundeen & Arsimendi, LLP
P.O. Box 131144
Houston, Texas 77219-1144

Ph: 713-652-2555
Fax: 713-652-2556

Date: July 3, 2000



UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Box PCT

Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/269,518	FENNER	D 34703-00006
INTERNATIONAL APPLICATION NO.		
PCT/GB97/02940		
I.A. FILING DATE		PRIORITY DATE
10/27/97		10/03/96

ALAN R THIELE
JENKENS & GILCHRIST
3200 FOUNTAIN PLACE
1445 ROSS AVENUE
DALLAS TX 75202

5611

DATE MAILED: 06/01/99

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☐ a Designated Office (37 CFR 1.494),
☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

☐ a non-English language.

☒ English.

☐ Translation of the international application into English.

☐ Oath or Declaration of inventor(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☒ The International Preliminary Examination Report in English and its Annexes, if any.

☒ Translation of Annexes to the International Preliminary Examination Report into English.

☒ Preliminary amendment(s) filed 02 Apr 1999 and 02 Apr 1999

☐ Information Disclosure Statement(s) filed _____ and _____

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed _____

☒ Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☒ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

- ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.

☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

- ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

INTELLECTUAL PROPERTY

JUN 07 1999

JENKENS & GILCHRIST

* DOCKETED

Int. 11/1 DT: 6-7-99Action complete Date: 6-1

Missing Parts due 7-1-99

9/26/99



Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/269,518	FENNER	D 34703-00006

ALAN R THIELE
JENKENS & GILCHRIST
3200 FOUNTAIN PLACE
1445 ROSS AVENUE
DALLAS TX 75202

5611
INTELLECTUAL PROPERTY
JUN 07 1999
JENKENS & GILCHRIST

INTERNATIONAL APPLICATION NO.

PCT/GB97/02940

I.A. FILING DATE	PRIORITY DATE
------------------	---------------

10/27/97 10/03/96
06/01/99

DATE MAILED:

NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION

This application fails to contain an oath or declaration acceptable under 35 U.S.C. 371 (c)(4) for entry into the national stage in the United States of America. The period within which to correct these requirements and avoid abandonment is set in the accompanying Office action.

A new oath or declaration, identifying this application by the international application number and international filing date is required. The oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

1. ☒ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
2. ☐ does not identify the specification to which it is directed.
3. ☐ does not identify the inventor(s).
4. ☐ does not identify the citizenship of each inventor.
5. ☐ does not state the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b) WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

1. ☐ does not identify the city and state or city and foreign country of residence or each inventor.
2. ☐ does not state that the person making the oath or declaration:
 - a. ☐ has reviewed and understands the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
 - b. ☐ acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
3. ☐ does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, month, and year of its filing.
4. ☐ does not state that the person making the oath or declaration acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which

Serial Number: 09/269,518
Inventor: Fenner, et al.
Any. Docket No. 34703.00006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)	
Fenner, et al.)	Group Art Unit:
)	
Application No. 09/296,518)	
)	Examiner: (unassigned)
Filed: April 2, 1999)	
)	
Title: FAN ROTOR)	
Attorney Docket No. 34703.00006)	

EL357877986US

Assistant Commissioner for Patents
BOX PCT
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
FILING DATE GRANTED**

**CERTIFICATE OF MAILING BY EXPRESS MAIL
UNDER 37 CFR 1.6**

Whereby, certify that this paper or file is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service, "EXPRESS MAIL" Mailing Label No. EL357877986US on the date indicated below and is addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: July 1, 1999

Attest: AT&T Registration No. 30694

Signature of Agent

[Handwritten Signature]

Signature

Serial Number: 09/269,518
Inventor: Fenner, et al.
Atty. Docket No. 34703.00006

Sir:

This reply is to a Notification of Missing Requirements under 35 U.S.C. 371-(PCT/DO/EO/905) mailed June 1, 1999. A copy of the Notice is enclosed.

Below is a Statement by the undersigned registered agent that the application filed in the PCT is the application which the inventor executed by signing the attached Declaration.

I. DECLARATION OR OATH

A Declaration was filed with the original application but was not executed. Enclosed is a Declaration (with original signatures) for this application.

II. SMALL ENTITY STATUS

A Verified Statement that this filing is by a small entity was filed with the original application but not executed. Enclosed is a signed Verified Statement by the assignee for this application. A copy of the Assignment is also enclosed.

III. COMPLETION FEES

Surcharge fees: Late filing of original Declaration or Oath per 37 C.F.R. §1.16(e) - \$130.00; small entity - \$65.00. Total completion fees is \$65.00.

IV. EXTENSION OF TIME

An extension of time for the filing of this completion document is not required.

V. TOTAL FEES DUE

Completion fee	\$65.00
Extension Fee (if any)	<u>\$ 0.00</u>
Total fees due	<u>\$65.00</u>

Serial Number: 09/269,518
Inventor: Fenner, et al.
Att. Docket No. 34703.00006

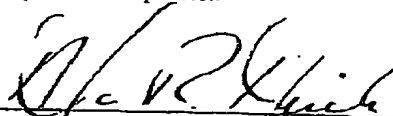
VI. PAYMENT OF FEES

Enclosed is a check in the amount of \$65.00 to cover Completion and Extension Fees.

VII. AUTHORIZATION TO CHARGE ADDITIONAL FEES

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper during the pendency of this application to Account No. 10-0447.

Respectfully submitted,
JENKENS & GILCHRIST
A Professional Corporation



Alan R. Thiele
Reg. No. 30,694
Patent Attorney
Tele: (Voice) (210) 246-5657
(Facsimile) (210) 246-5999

July 1, 1999
Date

STATEMENT BY AGENT THAT APPLICATION FILED IN PATENT & TRADEMARK OFFICE IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION

I hereby state that I am an agent for this application and that the application identified above is the application which the inventor executed by signing the Declaration that is being submitted herewith.

Respectfully submitted,
JENKENS & GILCHRIST
A Professional Corporation



Alan R. Thiele, Reg. No. 30,694

DOCKET NO.: 34703.000006

PATENT

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

This declaration is of the following type: National Stage of PCT.

My residence, post office address and citizenship are as stated below next to my name; and

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: EAN ROTOR, the specification of which:

X is attached hereto.

— was filed on _____ as PCT International Application No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to the patentability of this application as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of any application on which priority is claimed:

Country: Great Britain
Application No.: 9622361.5
Filed: 28 October 1996

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) or PCT International application (s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application or prior PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose to the Office all information known to me to be material to patentability of the application as defined in 37 CFR § 1.56 which occurred between

the filing date of the prior application and the national or PCT international filing date of this application:

PCT INTERNATIONAL APPLICATION

Application No.

Filed

PCT/GB97/02940

27 October 1997

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

JEFFERY E. BACON Reg. No. 35,055
 THOMAS L. CANTRELL Reg. No. 20,849
 THOMAS L. CRISMAN Reg. No. 24,846
 STUART D. DWORK Reg. No. 31,103
 H. MATHEWS GARLAND Reg. No. 19,129
 J. KEVIN GRAY Reg. No. 37,141
 STEVEN R. GREENFIELD Reg. No. 38,166
 KEVIN HANSBRO Reg. No. 38,485
 PAT HEPTIG Reg. No. 40,643
 CRAIG A. HOERSTEN Reg. No. 38,917
 JOHN R. KIRK JR. Reg. No. 24,477
 PETER J. MANSO Reg. No. 32,264
 ROGER L. MAXWELL Reg. No. 31,855
 ROBERT A. McFALL Reg. No. 28,968
 LISA H. MEYERHOFF Reg. No. 36,869
 STANLEY R. MOORE Reg. No. 26,958
 RICHARD J. MOURA Reg. No. 34,883
 MARK V. MULLER Reg. No. 37,509
 P. WESTON MUSSELMAN JR. Reg. No. 31,644
 ALAN R. THIELE Reg. No. 30,694
 TAMSEN VALOIR Reg. No. 41,417
 RAYMOND VAN DYKE Reg. No. 34,746
 BRIAN D. WALKER Reg. No. 37,751
 GERALD T. WELCH Reg. No. 30,332

of the firm of **JENKENS & GILCHRIST, P.C.**, 3200 Fountain Place, 1445 Ross Avenue,
 Dallas, Texas 75202-2799

and

Address all telephone calls and correspondence to:

Alan R. Thiele
 Jenkins & Gilchrist, P.C.
 3200 Fountain Place
 1445 Ross Avenue
 Dallas, Texas 75202-2799
 Telephone: (210) 246-5657
 Facsimile: (210) 246-5999

Atty. Docket No. 34703.00006

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1	David Fenner	<i>David Fenner</i>	25/5/99
	First Name	Inventor's Signature	Date
	Residence	Beeches, Durley Brook Road, Durley Southampton, Hampshire, SO32 2AR UK	
	Post Office Address	As Above	
2	Christopher Lack	<i>Christopher Lack</i>	25/5/99
	Full Name	Inventor's Signature	Date
	Residence	64 Woodham Park Road, Woodham Nr. Weybridge, Surrey, KT15 3SF UK	
	Post Office Address	As Above	

*

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT CLAIM SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.9(e)) - SMALL BUSINESS CONCERN

Packet Number (Optional)
 34703-00006

Applicant, Patentee, or Identifier: David Fenner, et al.
 Application or Patent No.: 09/269,518
 Filed or Issued: April 2, 1999
 Title: FAN ROTOR

I hereby state that I am
☐ the owner of the small business concern identified below.
☐ an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF SMALL BUSINESS CONCERN Elta Fans Limited

ADDRESS OF SMALL BUSINESS CONCERN 15 Barnes Wallis Road, Segensworth
East Industrial Estate, Fareham, Hants PO155BT

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

- Each person, concern, or organization having any rights in the invention is listed below:
☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING David Peter Fenner

TITLE OF PERSON IF OTHER THAN OWNER Engineering Director

ADDRESS OF PERSON SIGNING Beeches, Durley Brook Road, Durley, Southampton
Hants, SO32 2AR U.K.

SIGNATURE David Peter Fenner DATE 25-5-99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Jenkins & Gilchrist

No. 121338

DATE	INVOICE	DESCRIPTION	AMOUNT
07-01-99	34703 6/THIELE	PCT FILING FEE FOR OATH OR DECLARATION	65.00
TOTAL			65.00

THIS CHECK CONTAINS A VOID FEATURE. MICRO-PRINTED SIGNATURE LINE AND AN ARTIFICIAL WATERMARK ON BACK. HOLD UNDER BLACKLIGHT TO VERIFY AUTHENTICITY.

JENKINS & GILCHRIST
 A PROFESSIONAL CORPORATION
 1445 ROSS AVE., SUITE 3200
 DALLAS, TEXAS 75204-2711

Check of Texas, N.A.
 San Angelo

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THE ASSISTANT COMMISSIONER FOR PATENTS

PAID TO THE ORDER OF

CHECK DATE: 06/30/98

CHECK AMOUNT: \$65.00

121338


VOID AFTER 180 DAYS

TWO SIGNATURES REQUIRED OVER \$10,000

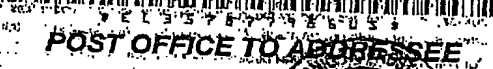
121338 111300880 0630004321

<input type="checkbox"/> Affidavit or <input type="checkbox"/> Declaration	<input type="checkbox"/> Amendment/Response To Office Action
<input type="checkbox"/> Application for Patent including _____ pages spec., _____ pages claims	<input type="checkbox"/> Brief, _____ copies
<input checked="" type="checkbox"/> Declaration or <input type="checkbox"/> Oath w/Power of Attorney	<input type="checkbox"/> Assignment, check for \$ _____
<input type="checkbox"/> Application for Intent-To-Use TM/SM	<input type="checkbox"/> Assignment Recordation Cover Sheet
<input type="checkbox"/> Application for TM/SM Reg. w/specimens	<input type="checkbox"/> Power of Attorney by Assignee
<input checked="" type="checkbox"/> Certificate of Express Mail 37 CFR 1.10 Express Mail No. <u>6255737986US</u>	<input type="checkbox"/> Certificate of Mailing Under 37 CFR 1.8(a)
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Declaration of Attorney
<input type="checkbox"/> PTO Form 1449, _____ references	<input type="checkbox"/> Drawings: _____ sheets
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> <input type="checkbox"/> Formal or <input type="checkbox"/> Informal
<input type="checkbox"/> Reg. for Filing a Continuation or Divisional Application Under 37 CR 1.60	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Verified Statement to Establish Small Entity Status	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Postcard	<input type="checkbox"/> Petition for Extension of Time (____) months
<input checked="" type="checkbox"/> Check for \$ <u>65.00</u>	<input type="checkbox"/> _____ with check for \$ _____
	<input type="checkbox"/> Priority Document
	<input checked="" type="checkbox"/> Transmittal Letter
	<input type="checkbox"/> Other: _____

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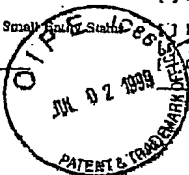
JUL 19 1999

JENKENS & GILCHRIST

THE STAMP OF THE PATENT OFFICE, PLACED HEREON, ACKNOWLEDGES RECEIPT OF:

Applicant: David Jenner, et al.
 Attorney/Agent: Atty. J. B. Harte
 Serial No.: 09/266318 Any. Docket No.: 34703-0006
 Date Mailed: 7/1/99 Due: 7/1/99

- | | |
|--|---|
| <input type="checkbox"/> Affidavit or <input type="checkbox"/> Declaration | <input type="checkbox"/> Amendment/Response To Office Action |
| <input type="checkbox"/> Application for Patent including | <input type="checkbox"/> Brief, _____ copies |
| _____ pages spec., _____ pages claims | <input type="checkbox"/> Assignment, check for \$ _____ |
| <input checked="" type="checkbox"/> Declaration or <input checked="" type="checkbox"/> Oath w/Power of Attorney | <input type="checkbox"/> Assignment Recordation Cover Sheet |
| <input type="checkbox"/> Application for Intent-To-Use TM/SM | <input type="checkbox"/> Power of Attorney by Assignee |
| <input type="checkbox"/> Application for TM/SM Reg. w/specimens | <input type="checkbox"/> Certificate of Mailing Under 37 CFR 1.8(a) |
| <input checked="" type="checkbox"/> Certificate of Express Mail 37 CFR 1.10 | <input type="checkbox"/> Declaration of Attorney |
| Express Mail No. <u>1565573779865</u> | <input type="checkbox"/> Drawings: _____ sheets |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> [] Formal or [] Informal |
| <input type="checkbox"/> PTO Form 1449, _____ references | <input type="checkbox"/> Issue Fee Transmittal |
| <input type="checkbox"/> Power of Attorney | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Reg. for Filing <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional | <input type="checkbox"/> Petition for Extension of Time (____) months |
| Application Under 37 CR 1.60 | <input type="checkbox"/> [] with check for \$ _____ |
| <input checked="" type="checkbox"/> Verified Statement to Establish Small Entity Status | <input type="checkbox"/> Priority Document |
| <input type="checkbox"/> Postcard | <input type="checkbox"/> Transmittal Letter |
| <input checked="" type="checkbox"/> Check for \$ <u>65.00</u> | Other: _____ |



* DOCKETED
 Int: K1 DT: 7-21-99
 Action Complete Date: 7-2
Small Entity
Missing Parts

Jenkins & Gilchrist

A PROFESSIONAL CORPORATION

1800 FROST BANK TOWER
100 WEST HOUSTON STREET
SAN ANTONIO, TEXAS 78205(210) 246-5000
TELECOPIER (210) 246-5898

WWW.JENKENS.COM

WRITER'S DIRECT DIAL NUMBER
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(214) 558-2000
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(713) 251-3500
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(310) 520-4800
WASHINGTON, D.C.
(202) 326-1500
AFFILIATE OFFICE
CHICAGO, ILLINOIS
(312) 425-0800

July 27, 1999

VIA LONE STAR OVERNIGHTMr. Andy M. Arismendi, Jr.
Sroufe, Payne, Lundeen & D'Ambrosio, LLP
1700 West Loop Street
Suite 1230
Houston, Texas 77027

Re: Transfer of Withers & Rogers Files

Dear Mr. Arismendi:

Enclosed, in accordance with Withers & Rogers request dated July 15, 1999, are the patent files which are listed as follows:

J&G REF. No.	DESCRIPTION	STATUS
34703-00002	PCT No. PCT/GB96/01965; U.S. Serial No. 09/011434 Filed: 02/10/97 Title: <i>Fluid Impeller</i>	Waiting for Notice to File Missing Parts
34708-00006	PCT No. PCT/GB97/02940; U.S. Serial No.: 09/269618 Filed: 04/02/99 Title: <i>Fan Rotor</i>	IDS is now due; Waiting for Notice to File Missing Parts

Along with the files, I have attached an Acknowledgment of Receipt. Please sign and return the Acknowledgment of Receipt at your earliest convenience.

Cordially,


 Lisa Gentry,
 Legal Secretary to Alan R. Thiele

09/269518



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
BOX PCT
Washington, D.C. 20231

US APPLICATION NO. 918	FENNEL NAMED APPLICANT	ATTY. DOCKET NO. 00016
------------------------	------------------------	------------------------

ALAN R THIELE
JENKENS & GILCHRIST
3200 FOUNTAIN PLACE INTELLECTUAL PROPERTY
1445 ROSS AVENUE
DALLAS TX 75202
MAR 30 2000
JENKENS & GILCHRIST

5071

INTERNATIONAL CLASS NO. 940

I.A. FILING DATE 7/97 PRIORITY DATE 3/96

03/27/00

DATE MAILED:

NOTIFICATION OF ABANDONMENT

The United States Patent and Trademark Office in its capacity as
☐ a Designated Office (37 CFR 1.494), ☒ an Elected Office (37 CFR 1.495), has made the following determination:

- ☐ Applicant's letter of express abandonment received _____ is in compliance with 37 CFR 1.138 and is hereby acknowledged.
- ☐ Applicant has failed to provide the full U. S. Basic National Fee by ☐ 20 months (37 CFR 1.494 (b)(2)), ☐ 30 months (37 CFR 1.495 (b)(2)).
- ☒ Applicant has failed to respond to the notification of MISSING REQUIREMENTS (Form PCT/DO/EO/905), mailed 01 JUNE 1999 within the time period set therein.
- ☐ Applicant has failed to properly respond to the notification of MISSING REQUIREMENTS (Form PCT/DO/EO/905), mailed _____ within the time period set therein. See the attached NOTIFICATION OF A DEFECTIVE RESPONSE (Form PCT/DO/EO/916).
- ☐ Other:

Therefore, the above identified application failed to meet the requirements of 35 U.S.C. 371 and 37 CFR
☐ 1.494, ☒ 1.495 and is ABANDONED AS TO THE UNITED STATES OF AMERICA.

Accepted for
Patent Office Processing
1000 500 0000

Telephone: (703)

Patent Record Summary Sheet

As Of: 07-22-1999 11:57:53 Printed: 07-22-1999

Created: 03/17/1999 Last Updt: 07/21/1999 By: KKH

Docket #: 34703-00006USPX	Country: US
Case Type: Regular	
Relationship: Original Filing	Status: 200/300 - Filed
Filing Type: National	Sub-Status: 210/310 - Filed Applica
Filing #:	SubStat Dt: 04/02/1999
Convention:	

Client: WAR - Withers & Rogers
 Owner: INVT - INVENTORS/APPLICANTS
 Group:
 Agent:
 Agt Ref #:
 Dev. Atty: ART Assignment:
 Resp. Atty: ART Claims: 20
 Work Atty: ART Paralegal:
 Expires:
 Next Tax:
 Tax Base:

Parent Ctry: WO 1st Filed: 10/26/1996
 Parent #: PCT/GB97/02940 Parent Dt: 10/27/1997
 Application #: 09/269518 Filed Dt: 04/02/1999
 Patent #: Grant Dt:
 Publication #: Pub Dt:

Title: FAN ROTOR

Pending Actions:

Action Due	Due Date	IP Clerk 1	IP Clerk 2	Action Notes
INDUCE STATEMENTS	07/22/1999			
STATUS-FILING RECEIPT?	10/02/1999			
STATUS-REJECTION RESPONSE?	10/02/2000			

Taken Actions (awaiting confirmation):

Action	Taken	Due Date	IP Clerk 1	IP Clerk 2	Action Notes
SMALL ENTITY STATUS	07/01/1999				

Completed Actions:

Action	Completed	Taken	Due Date	IP Clerk 1	IP Clerk 2	Action Notes
Notice of Missing Parts Filed	07/02/1999	07/01/1999	07/01/1999			
Notice of Missing Parts Mail Date	06/01/1999		05/01/1999			
NATIONAL APPLICATION HAS BEEN	04/02/1999	04/02/1999	04/03/1999			
Preliminary Amendment	04/02/1999	04/02/1999				
No Foreign Filing	10/28/1998					

User Text:

Other Code: Other #:

Inventors: Fenner, David

I-Pam System

DOCKET NO.: 34723 00006/AmA
 SERIAL NO.: 09/269,518
 FILED: APRIL 2, 1999
 APPLICANT: DAVID FENNER ET AL

The Patent & Trademark Office acknowledges receipt of, and has stamped hereon the date of receipt of, the items checked below, which were mailed on: JUL 3, 2000

- ☐ Affidavit
- ☐ Appeal Notice
- ☐ Application: Cover Sheet (___ page) Specification (___ pages)
- Claims: (___ pages) Total Claims ___ Inde. Claims ___
- Abstract (___ pages) Oath ___ Declaration ___
- ☐ Sheets of Drawing(s): Formal ___ Informal ___
- ☐ Assignment and Recordation: Cover Sheet
- ☐ Brief
- ☐ Declaration (___) w/ Power of Attorney
- ☐ Informal Disclosure Stmt-Form 1449 (with ___ references)
- ☐ Issue Fee - Base/Balance ☐ Fee for Advance Copy(ies)
- ☐ Letter
- ☐ Letter, Transmittal
- ☐ Letter (Change Deposit Account) 501285/___/___
- ☐ Petition
- ☐ Power of Attorney
- ☐ Preliminary Amendment
- ☐ Request for Extension of Time
- ☐ Response to
- ☐ Specimens
- ☐ Trademark/Service mark Application (___ pages)
- ☐ Verified Statement of Small Entity Status - Indep Inventor
- ☐ Verified Statement of Small Entity Status - Small Business
- ☐ Check # ___ in the amount of \$
- ☐ Check # ___ in the amount of \$
- ☒ Other: PETITION TO WITHDRAW HOLDING OF
- ☐ Other: AMENDMENT

Express Mail # EL 596 200 659 u.s.

526 Rec'd PCT/PTO 03 JUL 2000



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Patent Cooperation Treaty
Legal Office

Address: Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

27 OCT 2000

A.M. (Andy) Arismendi, Jr.
LUNDEEN & ARISMENDI, LLP
P.O. Box 131144
Houston, Texas 77219-1144

In re Application of
David Peter FENNER, et al.
Application No.: 09/269,518
PCT No.: PCT/GB97/02940
Int. Filing Date: 27 October 1997
Priority Date: 28 October 1996
Attorney Docket No.: 34703.00006
For: FAN ROTOR

**DECISION ON
PETITION
UNDER 37 CFR 1.10(e)**

This is in response to the "PETITION TO WITHDRAW THE HOLDING OF ABANDONMENT" filed 03 July 2000 and to the communication filed by facsimile on 22 September 2000. Both communications are being treated as a petition under 37 C.F.R. 1.10(e) to accept copies of the papers filed with the petition as being filed originally on 01 July 1999. The petition is GRANTED as follows:

No petition fee is necessary.

37 CFR 1.10(e) provides:

(e) Any person mailing correspondence addressed as set out in § 1.1(a) to the Office with sufficient postage utilizing the "Express Mail Post Office to Addressee" service of the USPS but not received by the Office, may petition the Commissioner to consider such correspondence filed in the Office on the USPS deposit date, provided that:

(1) The petition is filed promptly after the person becomes aware that the Office has no evidence of receipt of the correspondence;

(2) The number of the "Express Mail" mailing label was placed on the paper(s)

Serial No. 09/269,518

Page 2

or fee(s) that constitute the correspondence prior to the original mailing by "Express Mail";

(3) The petition includes a copy of the originally deposited paper(s) or fee(s) that constitute the correspondence showing the number of the "Express Mail" mailing label thereon, a copy of any returned postcard receipt, a copy of the "Express Mail" mailing label showing the "date-in," a copy of any other official notation by the USPS relied upon to show the date of deposit, and, if the requested filing date is a date other than the "date-in" on the "Express Mail" mailing label or other official notation entered by the USPS, a showing pursuant to paragraph (d)(3) of this section that the requested filing date was the date the correspondence was deposited in the "Express Mail Post Office to Addressee" service prior to the last scheduled pickup for that day; and

(4) The petition includes a statement which establishes, to the satisfaction of the Commissioner, the original deposit of the correspondence and that the copies of the correspondence, the copy of the "Express Mail" mailing label, the copy of any returned postcard receipt, and any official notation entered by the USPS are true copies of the originally mailed correspondence, original "Express Mail" mailing label, returned postcard receipt, and official notation entered by the USPS.

All of the requirements under 37 CFR 1.10(e) have been submitted. The petition was filed promptly after applicants became aware that the Office had no evidence of receipt of the response to the Notification of Missing Requirements of 01 June 1999. The "Express Mail" mailing label submitted with the petition indicates a stamped date and date-in of 01 July 1999 and bears the same "Express Mail" mailing label number (i.e. "Express Mail" label No. EL357877986US) that appears on the originally deposited Response to Notice to File Missing Parts. The petition is also accompanied by a return postcard receipt showing the communication to have been received in the USPTO on 02 July 2000. Applicants' communication of 22 September 2000 states that "the copies included in the Petition to Withdraw Holding of Abandonment filed July 3, 2000 are true and accurate copies of the Response to the Notification of Missing Requirements filed on July 1, 1999." Accordingly acceptance of papers submitted with the petition as being filed 01 July 1999 is appropriate and the Notification of Abandonment of 27 March 2000 is hereby VACATED.

For the reasons above, the petition under 37 CFR 1.10(e) is GRANTED.

Accordingly, the following items filed 03 July 2000 will be treated as filed on 01 July 1999: 1) response to Notice to File Missing Part, 2) executed declaration; 3) completion fees; and 4) Statement Claiming Small Entity Status.

Serial No. 09/269,518

Page 3

A review of the application file reveals the following:

a) The declaration filed 01 July 1999 is not properly executed and therefore is not in compliance with 37 CFR 1.497. No specification was attached to the declaration as mentioned by applicants therein. Also the declaration does not identify the citizenship of each inventor.

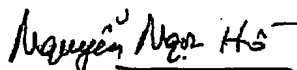
b) The statement claiming small entity status submitted on 02 April 1999 was not signed, therefore applicants were required to pay the full basic national fee of \$840.00 by 28 April 1999 to avoid abandonment of the application. Since one half of that amount was paid, the remaining portion will be charged to Deposit Account No. 10-0447 as authorized in the Transmittal Letter of 02 April 1999.

The application is being returned to the United States Designated/Elected Office for processing in accordance with this decision, that is a) for charging \$420 to Deposit Account No. 10-0447, and b) for issuance of a Notification of Missing Requirements (Form PCT/DO/EO/905) to inform applicants that an oath or declaration in compliance with 37 CFR 1.497 must be submitted in order to avoid abandonment of the application as to the national stage in the United States.



Boris Milef
PCT Legal Examiner
PCT Legal Office

NNH/BM:hn



Nguyễn Ngọc-Hồ
Paralegal Specialist
PCT Legal Office

Tel: (703) 308-6508

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION:

DOCKET NO.: 34703.00006

INVENTOR(S):

David Fenner
Christopher Lack

SERIAL NO.: 09/269,518

FILED: April 2, 1999

GROUP ART UNIT: (unknown)

FOR: Fan Rotor

EXAMINER: (unknown)

**REVOCATION OF POWERS OF ATTORNEY AND
NEW POWER OF ATTORNEY**The Honorable Commissioner of
Patents and Trademarks
Washington, D. C. 20231

Dear Sir:

We, the undersigned applicants, hereby revoke any and all previous power(s) of attorney previously given in this case, and hereby appoint, Daniel N. Lundeen, Reg. No. 31,177, A.M. (Andy) Arismendi, Jr., Reg. No. 31,715 and Tim W. Curington, Reg. No. 45,944, of Lundeen & Arismendi, L.L.P., P.O. Box 131144, Houston, Texas 77219-1144, Telephone (713) 652-2555, Facsimile (713) 652-2556, as our attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please direct all future correspondence to:

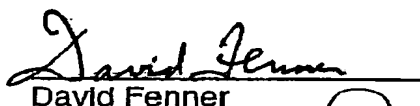
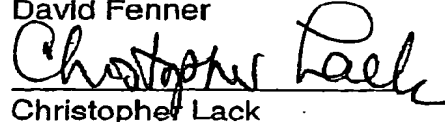
A.M. (Andy) Arismendi, Jr.
Lundeen & Arismendi, L.L.P.
P.O. Box 131144
Houston, TX 77219-1144
Telephone: (713) 652-2555
Facsimile: (713) 652-2556Date 21st Sept., 2000Date: 21st Sept., 2000
David Fenner
Christopher Lack

EXHIBIT 3

Papers submitted 15 June 2001 with Return Postcard:

1. Copy of Notification of Missing Requirements (mailed 15 March 01).
2. Response to Notification of Missing Requirements (Express Mail EL 677 098 461 US)
with one-month extension of time.
 - I. Declaration & Power of Attorney
 - II. Statement Claiming Small Entity Status
 - III. Return Postcard

09/269518

INTELLECTUAL PROPERTY

MAR 20 2001

JENKENS & GILCHRIST



UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Box PCT

Washington, D.C. 20231

U.S. APPLICATION NO. 11/722,518 FENNER FIRST NAMED APPLICANT ATTY. DOCKET NO. 34703-00006

ALAN R THIELE
JENKENS & GILCHRIST
3200 FOUNTAIN PLACE
1445 ROSS AVENUE
DALLAS TX 75202

5611

INTERNATIONAL APPLICATION NO.

PCT/GB97/02940

I.A. FILING DATE

PRIORITY DATE

10/27/97

10/03/96

03/15/01

DATE MAILED:

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

☐ a Designated Office (37 CFR 1.494),

☐ an Elected Office (37 CFR 1.495);

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

☐ a non-English language.

☒ English.

☐ Translation of the international application into English.

☒ Oath or Declaration of inventor(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☒ The International Preliminary Examination Report in English and its Annexes, if any.

☒ Translation of Annexes to the International Preliminary Examination Report into English.

☒ Preliminary amendment(s) filed 03 APR 1999 and

☐ Information Disclosure Statement(s) filed and

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed

☐ Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report and copies of the references cited therein.

☐ Other:

2. The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

☒ c. Oath or declaration of the inventor, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.

☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes MUST be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation

☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

LAURENCE HENDER

Telephone: (703) 295-6666

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence and the documents identified as enclosed therein are being deposited with the United States Postal Service on this date, June 15, 2001, by Express Mail (Express Mail Label No. EL677098461US), addressed to the Commissioner for Patents, Box PGT, Washington, D.C. 20231

Susan B. Jensen
Signature

Susan B. Jensen
Printed Name

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE NATIONAL STAGE APPLICATION OF

David Fenner et al.

FILED: April 2, 1999

TITLE: Fan Rotor

Commissioner of Patents
Washington, D.C. 20231

§
§
§
§
§
§
§

APPLICATION NO.: 09/269,518

ATTY. DKT. NO.: 34703.00006

EL677098461US

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER
35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**

Dear Sir:

In response to the Notification of Missing Requirements mailed March 15, 2001 for the above-identified matter, Applicants out of an abundance of caution file herewith the following documents:

1. Declaration and Power of Attorney executed May 30, 2001.
2. Surcharge under 37 CFR 1.492(e) of Sixty-five Dollars (\$65.00). The Commissioner for Patents is authorized to charge this surcharge fees associated with this communication or credit any overpayment to Deposit Account No. 501285/AMA/34703.00006.

PETITION FOR EXTENSION OF TIME

Applicants respectfully request a two-month extension of time to and including June 15, 2001, for responding to the Notification of Missing Requirements mailed March 15, 2001, with a shortened statutory period ending April 15, 2001. In accordance to 37 CFR § 1.136(a) and 37 CFR § 1.17(a)(2), a One Hundred Ninety-five Dollars (\$195.00) (small entity status) extension fee is included with this request. The Commissioner for Patents is authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 501285/AMA/34703.00006.

SMALL ENTITY STATUS

Applicants claim small entity status. Additionally, Elta Fans Limited the assignee of the present application also claims small entity status. A true and accurate copy of the Verification of Small Entity Status previously filed July 1, 1999 is filed herewith.

REQUEST FOR REFUND

Applicants request a refund of the surcharge and extension fees paid as a result of this filing.

Please note that Applicants had previously filed a response to a Notification of Missing Requirements dated mailed June 1, 1999, which included an executed Declaration and Power of Attorney executed May 25, 1999, Verified Statement Claiming Small Entity Status and the Surcharge under 37 CFR 1.492(e). A copy of each of these documents and check together with a copy of the returned postcard were provided as part of the Petition to Withdraw a Holding of Abandonment filed July 3, 2000, which was granted based on the documentation provided by the Decision dated November 2, 2000. An additional copy of these documents was provided by facsimile on March 30, 2001 per request of Mr. Lamont Hunter.

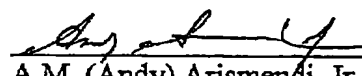
The Declaration and Power of Attorney executed May 30, 2001 reflects the Applicants current representation by counsel of our firm, rather than representation by Applicants prior counsel.

CONCLUSION

In any event, Applicants await their official filing receipt and request that examination proceed on the present application.

Should any fees be due, please charge or credit Deposit Acct. No. 501285/AMA/34703.00006.

Respectfully submitted by,


A.M. (Andy) Arismendi, Jr.
Reg. No. 31,715

A.M. (Andy) Arismendi
Lundeen & Arismendi, LLP
1700 West Loop South, Ste, 1230
Houston, TX 77027
Telephone: 713-652-2555
Facsimile: 713-652-2556

DECLARATION AND POWER OF ATTORNEY

As below named inventor(s), we hereby declare that:

Our residence, post office address, and citizenship are as stated below next to our name.

We believe we are the original, first and sole inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled: Fan Rotor the specification of which:

- ☐ is attached hereto.
☒ was filed on: April 2, 1999, as National Stage Application Serial No. 09/269,518 and amended on April 2, 1999 (Preliminary Amendment).

We hereby state that we have reviewed and understand the contents of the above identified specification, including the claims.

We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

PRIOR FOREIGN APPLICATION(S):

Priority Claimed	Number	Country	Date Filed
Yes	9622361.5	Great Britain	28 October 1996

We hereby claim the benefit under Title 35, United States Code, §120 of any United States Application(s) or PCT International applications designating the United States of America listed below, and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application or prior PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT International filing date of this application:

PCT/GB97/02940	27 October 1997	(Status)
(PCT Int'l Appl'n Serial No.)	(Filing Date)	

We hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, with full power of substitution and revocation:

Name	Registration No.	Address Telephone Calls and Correspondence to:
Daniel N. Lundeen	31,177	A.M. (Andy) Arismendi, Jr.
A.M. (Andy) Arismendi, Jr.	31,715	Lundeen & Arismendi, L.L.P.
David B. Dickinson	47,525	P.O. Box 131144
		Houston, Texas 77219-1144
		(713) 652-2555

We hereby declare that all statements made of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FIRST NAMED INVENTOR'S FULL NAME: David Fenner

FIRST NAMED INVENTOR'S SIGNATURE: David Fenner

Date: 30th MAY 2001

CITIZENSHIP: UK

RESIDENCE ADDRESS: Beeches, Durlay Brook Road, Durlay Southhampton, Hampshire, SO32 2AR

POST OFFICE ADDRESS: same as above

ADDITIONAL JOINT INVENTOR(S) LISTED ON ATTACHED SHEET: ☒ Yes ☐ No

FIRST NAMED INVENTOR'S FULL NAME: Christopher LackFIRST NAMED INVENTOR'S SIGNATURE: Christopher LackDate: 30th May 2001CITIZENSHIP: UKRESIDENCE ADDRESS: 64 Woodham Park Road, Woodham Nr. Weybridge, Surrey, KT15 3SPPOST OFFICE ADDRESS: same as above

Declaration

-2-

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Approved for use through 09/30/2000. OMB 0661-003 Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))—SMALL BUSINESS CONCERN**

Docket Number (Optional)
34703-00006

Applicant, Patentee, or Identifier: David Fenner, et al.

Application or Patent No.: 09/269,518

Filed or Issued: April 2, 1999

Title: FAN ROTOR

I hereby state that I am

- ☐ the owner of the small business concern identified below.
☐ an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF SMALL BUSINESS CONCERN Elta Fans Limited

ADDRESS OF SMALL BUSINESS CONCERN 15 Barnes Wallis Road, Segensworth
East Industrial Estate, Fareham, Hants PO155BT

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

- Each person, concern, or organization having any rights in the invention is listed below:
☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING David Peter Fenner

TITLE OF PERSON IF OTHER THAN OWNER Engineering Director

ADDRESS OF PERSON SIGNING Beeches, Durley Brook Road, Durley, Southampton

Hants, SO32 2AR U.K.

SIGNATURE David Peter Fenner

DATE 25-5-99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DOCKET NO.: 34703.0006
 SERIAL NO.: 09/269.518
 FILED: April 2, 1999
 APPLICANT: Exxon Chemical

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